

Docket No. 3986-4001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2163
RECEIVED

APR 27 2001

Technology Center 2100

Applicant(s): Robert K. Samson

Group Art Unit: TBA

Serial No.: 09/766,277

Examiner: TBA

Filed: January 19, 2001

For: INVESTMENT GUIDANCE SYSTEM WHICH ENABLES INDIVIDUALS TO RATE
AND SELECT ASSETS BASED ON PERSONAL INVESTMENT PREFERENCES

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to Rule 56, applicant hereby calls the attention of the Patent Office to the references listed on the attached Form PTO 1449. Copy(ies) of these references ☒ are attached ☐ were filed in related application U.S. Serial No(s) 09/766,277, filed January 19, 2001, respectively.

- ☐ This document is being filed within three (3) months of the filing date of the application
- ☐ Please charge the \$180 fee to Deposit Account No. 13-4500, Order No. _____.
- ☐ This document is being concurrently filed with the above-identified application
- ☐ This document is being concurrently filed with an Request for Continued Examination (RCE)
- ☒ This document is being filed prior to a first Office Action
- ☐ This document is accompanied by a Search Report/Communication cited in a corresponding PCT or foreign counterpart application.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4500, Order No. 3986-4001. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

Dated: April 23, 2001

By: John C. Vassil

John C. Vassil
Registration No. 19,098

Correspondence Address:

MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, NY 10154-0053
(212) 758-4800 Telephone
(212) 751-6849 Facsimile



RECEIVED

APR 27 2001

Technology Center 2100

PATENT

Docket No. 3986-4001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Robert K. Samson
Serial No. : 09/766,277 Group Art Unit: TBA
Filed : January 19, 2001 Examiner: TBA
For : INVESTMENT GUIDANCE SYSTEM WHICH ENABLES
INDIVIDUALS TO RATE AND SELECT ASSETS BASED ON
PERSONAL INVESTMENT PREFERENCES

CERTIFICATE OF MAILING

Commissioner of Patents
Washington, DC 20231

Dear Sir:

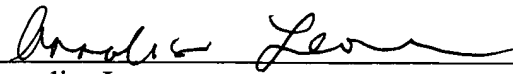
I hereby certify that the attached:

1. Information Disclosure Statement;
2. Information Disclosure Statement Form PTO-1449;
3. Nineteen (19) references; and
4. Return postcard.

(along with any paper(s) referred to as being attached or enclosed) and this Certificate of Mailing are being deposited with the United States Postal Service on the date shown below with sufficient postage as first-class mail in an envelope addressed to the: Commissioner of Patents, Washington, DC 20231.

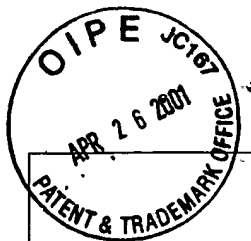
Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

Date: April 23, 2001


Annalisa Leone

CORRESPONDENCE ADDRESS:

MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, New York 10154
(212) 758-4800 Telephone
(212) 758-6849 Facsimile


FORM PTO-1449
INFORMATION DISCLOSURE CITATION

Attorney Docket:
3986-4001

Serial No.:
09/766,277

Applicant:
Robert K. Samson

Filing Date:
January 19, 2001

Group Art Unit:
TBA

RECEIVED
APR 27 2001
Technology Center 2100

U.S. PATENT DOCUMENTS

Examiner Initial	Patent Number	Issue Date	Name	Class	Sub-Class	Filing Date
	5,053,758	10/01/91	Cornett et al.	340	712	02/01/90
	5,148,365	09/15/92	Dembo	364	402	08/15/89
	5,220,500	06/15/93	Baird et al.	364	408	09/19/89
	5,321,833	06/14/94	Chang et al.	395	600	08/29/90
	5,784,696	07/21/98	Melnikoff	705	36	06/06/95
	5,794,178	08/11/98	Caid et al.	704	9	04/12/96
	5,799,298	08/25/98	Bingham et al.	707	1	05/27/97
	5,819,238	10/06/98	Fernholz	705	36	12/13/96
	5,884,287	03/16/99	Edeess	705	36	04/11/97
	5,918,217	06/29/99	Maggioncalda et al.	705	36	12/10/97
	5,999,918	12/07/99	Williams et al.	705	36	04/02/97
	6,021,397	02/01/00	Jones et al.	705	36	12/02/97
	6,029,195	02/22/00	Herz et al.	709	219	12/05/97

FOREIGN PATENT DOCUMENTS

Examiner Initial	Patent Number	Issue Date	Country	Class	Sub-Class	Translation
						<input type="checkbox"/> Yes <input type="checkbox"/> No
						<input type="checkbox"/> Yes <input type="checkbox"/> No
						<input type="checkbox"/> Yes <input type="checkbox"/> No
						<input type="checkbox"/> Yes <input type="checkbox"/> No
						<input type="checkbox"/> Yes <input type="checkbox"/> No
						<input type="checkbox"/> Yes <input type="checkbox"/> No

OTHER DOCUMENTS (continued)

	Fabozzi, Frank J. and Fabozzi, T. Dessa. "The Handbook of Fixed Income Securities", Fourth Addition, 1995, pp. 90-96
	"Financial Engines" (http://www.financialengines.com), download date; March 28, 2001.
	"Fund Evaluator sm "; Fidelity Investments. (http://fidelity.exodus.optigrab.com), download date; March 28, 2001
	Lewis, Alan L. et al. "The Ibbotson-Sinquefield Simulation Made Easy." Journal of Business, Vol. 53 (1980), pp. 205-214
	Rominger, Terry. "Investment Basics, Part I: Duration." CNBS Market Cast, May 1999, pp. 1-2
	Rominger, Terry. "Investment Basics, Part II: Modified Duration." CNBS Market Cast, June 1999, pp. 3

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609.
Draw line through citation if not in conformance and not considered.
Include copy of this form with next communication to Applicant.